

UNITED STATES DISTRICT COURT
NORTHERN DISTRICT OF CALIFORNIA

Securities and Exchange Commission,

Case No. C 07-03798 JW

Plaintiff(s),

ADR CERTIFICATION BY PARTIES
AND COUNSEL

v.

Kenneth L. Schroeder,

Defendant(s).

Pursuant to Civil L.R. 16-8(b) and ADR L.R. 3-5 (b), each of the undersigned certifies that he or she has:

(1) Read the handbook entitled "*Dispute Resolution Procedures in the Northern District of California*" on the Court's ADR Internet site www.adr.cand.uscourts.gov (*Limited printed copies are available from the clerk's office for parties in cases not subject to the court's Electronic Case Filing program (ECF) under General Order 45*);

(2) Discussed the available dispute resolution options provided by the Court and private entities; and

(3) Considered whether this case might benefit from any of the available dispute resolution options.

Dated: 11/2/2007 ☐

Dated: 11/2/2007 ☐

Securities & Exch. Comm. ☐

[Party]



Mark P. Fickes ☐

[Counsel]